

<b>UTILITY PATENT APPLICATION TRANSMITTAL</b> <small>(Only for new nonprovisional applications under 37 CFR 1.53(b))</small>	Attorney Docket No.	215144US2
	Inventor or Application Identifier	Yoshinori HAYASHI et al.
	Title	OPTICAL SCANNING DEVICE, IMAGING APPARATUS, AND IMAGING METHOD
Assignee Name:		
Assignee Address:		

<b>APPLICATION ELEMENTS</b> See MPEP chapter 600 concerning utility patent application contents	<b>ADDRESS TO:</b> Assistant Commissioner for Patents Box Patent Application Washington, DC 20231
<b>1. <input type="checkbox"/> Transmittal Form (e.g. PTO/SB/17)</b> (Submit an original and a duplicate for fee processing)	<b>ACCOMPANYING APPLICATION PARTS</b>  7. <input type="checkbox"/> Assignment Papers (cover sheet & document(s)) 8. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76 9. <input type="checkbox"/> 37 C.F.R. §3.73(b) Statement <input type="checkbox"/> Power of Attorney (when there is an assignee) 10. <input type="checkbox"/> English Translation Document (if applicable) 11. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations (17) 12. <input type="checkbox"/> Preliminary Amendment 13. <input type="checkbox"/> White Advance Serial No. Postcard 14. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed) 15. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27 16. <input type="checkbox"/> Other: Statement of Relevancy, IDS/List of Related Cases, Cited Pending Applications (9)
2. <input type="checkbox"/> Specification <span style="float: right;">Total Sheets <b>48</b></span>	
3. <input type="checkbox"/> Formal Drawing(s) <span style="float: right;">Total Sheets <b>7</b></span> (35 U.S.C. 113)	
4. <input type="checkbox"/> Oath or Declaration <span style="float: right;">Total Pages <b>3</b></span> a. <input type="checkbox"/> Newly executed (original) b. <input type="checkbox"/> Copy from a prior application (37 C.F.R. §1.63(d)) (for continuation / divisional w/ box 17 completed) i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b> Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §1.63(d)(2) and 1.33(b).	
5. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)	
6. <input type="checkbox"/> Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) a. <input type="checkbox"/> Computer Readable Form (CRF) b. Specification or Sequence Listing on: i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii. <input type="checkbox"/> Paper c. <input type="checkbox"/> Statements verifying identity of above copies	

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application no.:

Prior application information: Examiner: Group Art Unit:

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. Amend the specification by inserting before the first line the sentence:


☐ This application is a ☐ Continuation ☐ Division ☐ Continuation-in-part (CIP)  
 of application Serial No. Filed on

☐ Which was published in English

☐ Which was not published in English

☐ This application claims priority of provisional application Serial No. Filed

**19. CORRESPONDENCE ADDRESS**

  
**22850**  
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Name:	Marvin J. Spivak	Registration No.:	24,913
Signature:		Date:	
Name:		Registration No.:	



Docket No.: 215144US2

ASSISTANT COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231



RE: Application Serial No.: 09/982,831  
Applicants: Yoshinori HAYASHI, et al.  
Filing Date: October 22, 2001  
For: OPTICAL SCANNING DEVICE, IMAGING  
APPARATUS, AND IMAGING METHOD

ATTORNEYS AT LAW

GREGORY J. MAIER  
(703) 413-3000  
GMAIER@OBLON.COM

SIR: Attached hereto for filing are the following papers:

**Petition For Granting of Filing Date And Response to The Notice of Incomplete Nonprovisional  
Application**

**Notice of Incomplete Nonprovisional Application**

**Copy of the Specification with the Claims**

**Copy of the Declaration**

**Copy of Utility Patent Application Transmittal**

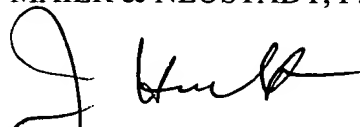
**Copy of Fee Transmittal**

**Copy Date-Stamped Filing Receipt Dated October 22, 2001**

Our check in the amount of \$130.00 is attached covering any required fees. In the event any variance exists between the amount enclosed and the Patent Office charges for filing the above-noted documents, including any fees required under 37 C.F.R. 1.136 for any necessary Extension of Time to make the filing of the attached documents timely, please charge or credit the difference to our Deposit Account No. 15-0030. Further, if these papers are not considered timely filed, then a petition is hereby made under 37 C.F.R. 1.136 for the necessary extension of time. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

OBLON, SPIVAK, McCLELLAND,  
MAIER & NEUSTADT, P.C.

  
Gregory J. Maier  
Attorney of Record

Registration No. 25,599

James D. Hamilton  
Registration No. 28,421



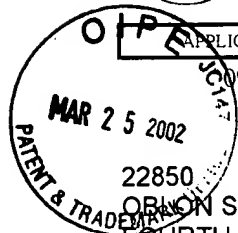
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## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov



APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/982,831	10/22/2001	Yoshinori Hayashi	215144US2

22850  
ORION SPIVAK MCCLELLAND MAIER & NEUSTADT PC  
FOURTH FLOOR  
1755 JEFFERSON DAVIS HIGHWAY  
ARLINGTON, VA 22202

CONFIRMATION NO. 5402

## FORMALITIES LETTER



\*OC000000007347727\*

Date Mailed: 01/23/2002

## NOTICE OF INCOMPLETE NONPROVISIONAL APPLICATION

## FILED UNDER 37 CFR 1.53(b)

A filing date has NOT been accorded to the above-identified application papers for the reason(s) indicated below.

All of the items noted below and a newly executed oath or declaration covering the items must be submitted within **TWO MONTHS** of the date of this Notice, unless otherwise indicated, or proceedings on the application will be terminated (37 CFR 1.53(e)).

The filing date will be the date of receipt of all items required below, unless otherwise indicated. Any assertions that the item(s) required below were submitted, or are not necessary for a filing date, must be by way of petition directed to the attention of the Office of Petitions accompanied by the \$130.00 petition fee (37 CFR 1.17(h)). If the petition states that the application is entitled to a filing date, a request for a refund of the petition fee may be included in the petition.

- The specification is missing.  
*A complete specification as prescribed by 35 U.S.C. 112 is required.*

The required items noted below SHOULD be filed along with any items required above. The filing date of this nonprovisional application will be the date of receipt of the items required above.

- Total additional claim fee(s) for this application is \$2244.
  - \$1152 for 64 total claims over 20.
  - \$1092 for 13 independent claims over 3.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- The balance due by applicant is \$ 2244.

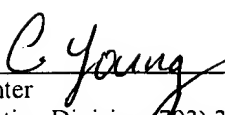
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01 FC:105

130.00 UP

Adjustment date: 02/20/2003 ERMUNBY  
03/27/2002 MAHME1 00000041 09982831  
01 FC:105 130.00 UP

Repln. Ref: 02/20/2003 ERMUNBY 001244500  
DIN: 150030 Name/Number: 07/01/01 \$130.00  
FC: 9204

  
\_\_\_\_\_  
Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



OSMM&N File No. 215144US2

Serial No. NEW APPLICATION

In the matter of the Application of: Yoshinori HAYASHI, et al.

For: OPTICAL SCANNING DEVICE, IMAGING APPARATUS, AND IMAGING METHOD

Dept.: PP/JF

By: MJS/cp

The following has been received in the U.S. Patent Office on the date stamped hereon:

- ☒ 48 pp. Specification    33 Claims/Formal Drawings    7 Sheets  
and    2 pages Application Data Sheet
- ☒ Combined Declaration, Petition & Power of Attorney    3 pages
- ☐ List of Inventor Names and Addresses
- ☒ Utility Patent Application Transmittal    ☐ CPA
- ☐ Notice of Priority    ☐ Priority Doc
- ☒ Check for    \$974.00    ☒ Dep. Acct. Order Form
- ☒ Fee Transmittal Form
- ☐ Assignment/PTO 1595 pages:
- ☐ Letter to Official Draftsman
- ☐ Letter Requesting Approval of Drawing Changes
- ☐ Formal Drawings    sheets    ☐ Formal
- ☐ Letter
- ☐ Amendment
- ☒ Information Disclosure Statement    ☒ PTO-1449
- ☒ Cited References (17)
- ☐ Search Report
- ☒ Statement of Relevancy    ☒ Cited Pending Applications (9)
- ☒ IDS/Related/List of Related Cases    ☐ Election Response
- ☐ Restriction Response
- ☐ Rule 132 Declaration
- ☐ Petition for Extension of Time
- ☐ Notice of Appeal
- ☐ Brief
- ☐ Issue Fee Transmittal
- ☒ White Advance Serial Number Card
- ☐ Small Entity Status is Claimed
- ☐
- ☐



Due Date: 10/27/01

Docket No. 215144US2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

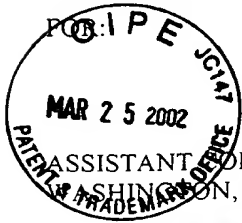
INVENTOR(S) Yoshinori HAYASHI, et al.

SERIAL NO: New Application

FILING DATE: Herewith

FOR: OPTICAL SCANNING DEVICE, IMAGING APPARATUS, AND IMAGING METHOD

FEE TRANSMITTAL



ASSISTANT COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

FOR	NUMBER FILED	NUMBER EXTRA	RATE	CALCULATIONS
TOTAL CLAIMS	33 - 20 =	13	× \$18 =	\$234.00
INDEPENDENT CLAIMS	3 - 3 =	0	× \$84 =	\$0.00
<input type="checkbox"/> MULTIPLE DEPENDENT CLAIMS (If applicable)			+ \$280 =	\$0.00
<input type="checkbox"/> LATE FILING OF DECLARATION			+ \$130 =	\$0.00
BASIC FEE				\$740.00
TOTAL OF ABOVE CALCULATIONS				\$974.00
<input type="checkbox"/> REDUCTION BY 50% FOR FILING BY SMALL ENTITY				\$0.00
<input type="checkbox"/> FILING IN NON-ENGLISH LANGUAGE			+ \$130 =	\$0.00
<input type="checkbox"/> RECORDATION OF ASSIGNMENT			+ \$40 =	\$0.00
TOTAL				\$974.00

- ☐ Please charge Deposit Account No. 15-0030 in the amount of \_\_\_\_\_ A duplicate copy of this sheet is enclosed.
- ☒ A check in the amount of **\$974.00** to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge any additional fees which may be required for the papers being filed herewith and for which no check is enclosed herewith, or credit any overpayment to Deposit Account No. 15-0030. A duplicate copy of this sheet is enclosed.

Respectfully Submitted,

OBLON, SPIVAK, McCLELLAND,  
MAIER & NEUSTADT, P.C.

Date: \_\_\_\_\_

Marvin J. Spivak  
Registration No. 24,913



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